EXAMINING THE DEVELOPMENT AND SELECTION PROCESS FOR SENIOR ENLISTED PERSONNEL IN THE U. S. NAVY
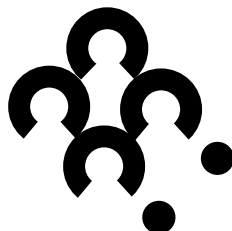
Technical Report No. 484

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Introduction

Background

Over the last several years the Task Force Excel Performance Vector Research Team (PVRT) has been working on developing scientifically-based tools to support Navy efforts to re-engineer performance management, performance appraisal, and advancement programs. During Fiscal Year 2002, the PVRT successfully developed a new performance management and appraisal system for all supervisory and non-supervisory personnel in the U. S. Navy (Hedge, Borman, Bruskiewicz, & Bourne, 2002). That effort was followed by development of new Flag Fitness performance dimensions and Executive Mentoring products designed to support senior Navy leadership. The PVRT is also involved in preliminary activities to examine the Navy's current advancement system, and recommend ways to enhance the system by emphasizing factors most predictive of career advancement (Borman, Hedge, Bruskiewicz & Bourne, 2003; Hedge, Bruskiewicz, Borman, & Bourne, 2004).

These activities are an important part of the Navy's strategic human capital management transformation, and reflect the Navy's drive to adopt a systematic and comprehensive approach to their most important asset – their people. Because there is an obvious link between personnel quality and operational readiness, an organization's approach to strategic human capital management must be judged by how well that vision, strategy, and process help the organization achieve results and pursue its mission. For the Navy, people are an indispensable element in mission accomplishment. They not only play a critical role in determining the organization's performance capabilities, but they also represent its institutional knowledge base and help define its culture.

Certainly, a key factor in the success of the Navy's human capital management strategy is the linkage of human capital approaches with the accomplishment of organizational goals. This cultural transformation is critical in order for the Navy to create the conditions necessary for continuous improvement and high levels of mission accomplishment. A high-performance organization needs a dynamic, results-oriented workforce with the talents, knowledge, and up-to-date skills to ensure that it is equipped to accomplish its mission and achieve its goals. To foster results-oriented cultures, leading organizations utilize HR management systems as strategic tools to drive internal change and achieve external results.

Current Effort

The current activities reported here are aimed at supporting continuous improvement and high levels of mission accomplishment in the senior-most Enlisted ranks in the Navy. Specifically, we were asked to examine the process by which Fleet and Force Master Chiefs are developed and selected, and provide advice for whether and how the process might be improved. Fleet Master Chiefs (FLTMCs) and Force Master Chiefs (FORMCs) comprise a relatively small, elite group of senior Enlisted leaders within the Navy. They participate in formulating and implementing policies concerning morale, welfare, job satisfaction, discipline, utilization, and training of Navy Enlisted personnel. They report directly to their respective Commanders, thus keeping their chain of command aware and informed of sensitive and current issues, and stimulating better communication at all levels of command throughout the Department of the Navy. They strengthen the chain of command by working within it to foster a better understanding of the needs and viewpoints of Enlisted members and their families. Selection as a FLTMC or FORMC is based on demonstrated sustained, superior leadership qualities, including exemplary communication skills.

To address the needs of the Command Master Chief (CMDCM) community we focused on aspects of their selection process that might offer opportunities for improvement. Specifically, we decided to consider whether there were ways to improve selection of Force/Fleet Master Chiefs, and development of these individuals. In so doing, we chose to focus on two specific components important for this career milestone – Selection Boards and Executive Mentoring.

Selection Board

As is true throughout the Navy, a primary vehicle for considering such a career milestone is the Selection Board. A Selection Board is convened by the Chief of Naval Personnel (CNP). Each year an instruction, called a precept, is prepared for the Board. The precept outlines the selection process and gives general guidance to the Board regarding selection criteria. It also outlines the expected conduct and performance of persons serving with the Board. The precept tends to vary only slightly from year to year.

Upon convening, the Board establishes internal ground rules and minimum selection criteria, which each member uses when screening the records of candidates. The rules/selection criteria are applied equally to each candidate within a rating. Application may vary slightly from rating to rating for many reasons, such as sea duty or lack of it, supervisory opportunities, schooling availability, rotation patterns, etc. The Board is given the freedom to establish its own internal procedures, within the guidelines of the precept, thereby providing for the dynamic nature of the selection process.

Currently, selection into FLTMC and FORMC positions in the Navy involves sifting through the personnel records of approximately 700 Enlisted Sailors, who are senior enough to be eligible. The Board's task is to identify high quality candidates for Force-level leadership assignments. Consequently, our focus was to consider ways to refine the CMDCM Selection Board procedures, including both the pre-Board data gathering and data reduction process, and the Selection Board process itself.

Executive Mentoring

Executive mentoring and coaching is a structured process that addresses the learning needs of individual executives, leaders, or managers within an organization. It provides an individualized program that can be tailored to meet the needs of the individual and the organization. Executive mentoring and coaching usually provides feedback that identifies areas for development and encourages an action learning approach to workplace learning. It also establishes a structured assessment process that demonstrates results for the individual and for the organization.

Mentoring is as much about developing tomorrow's potential as it is maximizing today's performance, and embraces the notion that the organization succeeds when it attracts, develops, and retains the best and brightest people. Benefits of mentoring and coaching for the organization include: (1) targeting of specific organizational needs; (2) broadening of staff capabilities; (3) facilitation of change and innovation; and (4) demonstrated commitment to human resource development. In sum, executive mentoring is an investment in excellence and making the most of an organization's high value talent. Thus, it seemed logical that such a tool might provide useful input to the Selection Board and/or provide a mechanism for grooming senior Enlisted Sailors for these leadership positions.

In summary, the focus of our current effort was on the CMDCM Selection Board process and the Executive Mentoring process as potential means of complementing current procedures for developing and selecting senior Enlisted personnel.

Approach

Our approach included examining the Selection Board process historically, and then observing a mock Board. By doing so we hoped to determine how board members synthesize and apply available information. Gaining this knowledge would then allow us to facilitate discussions of the process with the participants, and lead to making recommendations for refining the process. To accomplish the basic objectives of the study our approach involved the following steps.

1. Design Command Master Chief (CMDCM) Selection Board Workshop

To gain a better understanding of the Fleet and Force Master Chief Selection process, we worked with the Navy Personnel Command (NPC) and Pacific Force Master Chief to design and conduct a CMDCM mock Selection Board. In order to make this as realistic as possible, actual Master Chief personnel records were extracted by BUPERS personnel and prepared for review by Board members, as would happen with a normal CMDCM Selection Board. In addition, senior Enlisted personnel that would normally be invited to serve on a CMDCM Selection Board were asked by Pacific Master Chief to attend the workshop.

2. Develop Workshop Materials

Two primary sets of materials were needed to support the requirements of the workshop, an Executive Mentoring tool, and a policy capturing research tool designed to gather data from workshop participants.

A. Executive Mentoring Tool

As noted earlier, previous work by the PVRT had produced an Executive Mentoring form for use with senior Naval leaders, and Pacific Force Master Chief had expressed interest in examining the form as a useful instrument for supplementing the data examined by CMDCM Selection Boards. The current Navy Executive Mentoring form consists of 12 dimensions, each with five sub-dimensions. These dimensions and sub-dimensions can be found in Appendix A. These dimensions with their definitions, and sub-dimensions with their behavioral descriptors, were prepared for use by workshop participants.

B. Policy Capturing Tool

In order to gather the perspectives of workshop participants concerning how career accomplishments contribute to the overall selection process, we developed mock profiles of senior Enlisted Sailors with preset "scores" on the Navy's Executive Mentoring Form. These data were to be used in the mock Selection Board along with fitness report (FITREP) data when determining the level of selectability for candidates.

The mentoring profiles were constructed using the Navy's Executive Mentoring Form. As mentioned, the Executive Mentoring Form consists of 12 dimensions, with each dimension score being comprised of a number of sub-dimensions (the ratings are made on a 7-point scale). In addition, three composite scores were computed. The *Overall* mentoring score was computed by averaging across all of the dimension scores of the Executive Mentoring Form. The *Professional* mentoring score was computed by averaging across eight dimension scores - *Mission Accomplishment, Growth and Development of People, Operational Competence, Vision/Strategic Perspective, Business Acumen/Skills, Communication Skills, Behavior, and Leading People*. Finally, the *Potential* mentoring score was computed by averaging the remaining four dimension scores - *Organizational Skills, Personal/Professional Development, Leading Change, and Savvy.* Definitions of the mentoring form dimensions and subdimensions are presented in Appendix A.

Profiles on the 12 dimension scores were constructed by generating data that fit a prescribed estimated correlation matrix. The intercorrelations between the 12 dimension scores were estimated by three PDRI researchers and are presented in Appendix B. For the most part, the researchers agreed on the level of intercorrelation they expected between the mentoring dimensions. In those situations where there were outliers, however, the outlier was eliminated. A total of 15 (out of 198) estimated correlations were eliminated as outliers and there was never a case in which more than one outlier was eliminated from any of the average estimated correlations.

After the scores on the profiles for the 12 dimensions were constructed, sub-dimension scores were computed based upon these dimension scores. For this policy capturing application, the dimension scores from the Executive Mentoring Form were computed by taking the average of each of the sub-dimension scores. We computed dimension scores that fit the prescribed intercorrelation matrix and then worked backwards to compute sub-dimension scores that averaged to match the dimension score. A sample mentoring profile is presented in Appendix C. For the FITREPs, actual reports from archival data were selected that matched the level of the ratings from the mentoring form. That is, an effort was made to ensure that the FITREP reports were consistent with respect to the scores presented as part of the mentoring form.

During the mock Selection Board workshop, participants were presented with 9 to 15 of these profiles. The task of the participants was to review each profile, consider how that individual's score on all of the individual dimensions *together* contribute to an evaluation of the Sailor's potential leadership, and then rate their overall level of selectability using the following 5-point scale:

> 1 - Definitely not select
> 2 - Probably not select
> 3 - Not sure
> 4 - Probably select
> 5 - Definitely select

3. Conduct CMDCM Mock Selection Board Workshop

Again, recall the workshop was designed around simulating the activities of a CMDCM Selection Board session. Workshop participants were introduced to the PVRT and the purpose of the workshop was explained. In addition, the Executive Mentoring and Policy Capturing tools were distributed and time was spent familiarizing participants with these tools. Each participant was then assigned to be an advocate for approximately 10 CMDCM candidates. Each participant was asked to review the records of their 10 candidates, examine the hypothetical executive mentoring data for each candidate, rate candidate overall selectability, and prepare for presenting their recommendations to the rest of the Board.

Once this process had been completed by all workshop participants, individuals were asked to present their findings to the Board. Selection data were collected on all rated candidates, but because of time limitations, participants were asked to present their findings to the Board for only two or three of their candidates.

In addition, part of the presentation process involved an oral description by the presenter on what information was used, and how it was weighted in arriving at a selection recommendation. This process was designed to be interactive such that other participants and the PVRT could discuss information used, information ignored, and the relative importance placed on information by the workshop participant when arriving at a selection decision. Discussion also focused on participants' thoughts about the usefulness of executive mentoring data in arriving at a final Selection Board decision, and the usefulness of the mentoring tool for developing senior Enlisted personnel during their career.

Results

Policy Capturing Analyses

The policy capturing methodology is a general procedure designed to describe statistically the information processing strategies of individual raters. Multiple regression analysis is used to calculate the extent to which overall ratings are predictable given scores on separate dimensions or components, and the relative importance of each component in determining overall ratings (Naylor & Wherry, 1965).

Because the dimension scores were not orthogonal (i.e., not correlated zero with each other), it was necessary to use a measure of relative weight that was interpretable in a situation in which predictors are moderately correlated. Importance analysis was used to examine the relative importance of each of the dimension measures to overall performance (Johnson, 2000). The procedure used in the Johnson (2000) study has been shown to produce very similar results to those produced by more computationally complex procedures (e.g., Budescu, 1993). The relative weights yielded by this procedure sum to R^2; thus, the predictable variance in the criterion is partitioned among the predictor variables according to their relative contribution to R^2. The policy capturing analyses provide estimates of each participant's weights for each of the independent variables. These weights can be interpreted as the importance the participant believes should be given to each variable in making selection decisions.

Policy Capturing Results

In a policy capturing study, the sample size for the regression analysis is determined by the number of profiles that each SME rates. Time limitations restricted the number of profiles that any single SME could rate to from 9 to 15. Thus, due to the lack of power, we restricted the variables that were entered in the regressions to the two mentoring composites (*Professional* and *Potential*) and the FITREP scores.

Table 1 presents the pooled, summary results of the policy capturing study for selection. The Potential composite score received the largest weight (18.4) followed next by Professional (16.6) and FITREP 2 (16.5). These results should be interpreted with caution, however, because none of the Multiple *Rs* from the regression analyses were significant, probably due to the low level of statistical power.

Table 1 Relative Weights for Overall Selection	
Dimension	Relative Weight
Professional	16.6
Potential	18.4
FITREP 1 – 2000 results	11.9
FITREP 2 – 2001 results	16.5
FITREP 3 – 2002 results	14.8
FITREP 4 – 2003 results	11.5
FITREP 5 – 2004 results	10.3

In addition to averaging the individual participant's weights for each dimension (Table 1 results), we analyzed the data by "lining up" the ratings across all 87 mock ratees, essentially acting as if there was one rater evaluating all of the ratees. The reasons for doing this were to gain more power in the policy capturing analysis and to investigate the differences between participants in their policies. The *R* for the policy capturing regression equation is an index of the consistency of the policy across all of the ratees. And, because different raters evaluated difference ratees, *R* is an indicator of policy consistency across the nine Board members.

The *R* was .29, suggesting considerable disagreement in the patterns of weights employed by the participants (multiple correlations with policy capturing are typically greater than .70, often in the .80-.90 range). So, although the mean weights in Table 1 provide useful information about the way these Board members view the importance of FITREPs and the mentoring form information for making judgments about selection, it should be recognized that there is significant disagreement between these participants in their patterns of relative weights. Nonetheless, the results do indicate that at least on average these workshop participants did take into account the mentoring ratings when making selection decisions. This in turn suggests that they found the mentoring criteria useful when making these important decisions about the selection of executive level Enlisted. Subsequent discussions with these participants reinforced this conclusion.

Post Policy Capturing Task Discussions

After the nine workshop participants completed the policy capturing exercise, we had a discussion about: (1) how they used the mentoring form and FITREP data in making their selection ratings; and (2) how appropriate they believed the mentoring form dimensions and behavioral "anchors" were for evaluating executive level Enlisted (recall that the format was originally targeted toward Flag Officers).

The discussion around the first topic suggested some differences in how members of the group used the information to make the selection judgments. For example, for the FITREP data some believed they weighted the more recent ratings a bit higher because that performance was in a more senior level billet. Others reported they in effect averaged the FITREP ratings across the five years. Several participants said they carefully considered the specific experience each Sailor had during their recent assignments (e.g., experience on a headquarter staff, overseas assignments, sea duty on a large ship, etc.).

All who participated in the discussion reported that they also used the mentoring data in making the selection ratings, although the relative weights they reported putting on those data versus the FITREP information varied across participants. These somewhat different approaches to using information to make selection decisions were of course confirmed in the policy capturing results. Important for our purposes, however, all of these executive level Master Chiefs believed that the mentoring form data were useful in making these decisions *and*, on average, the two mentoring summary ratings had the highest weights based on the policy capturing analyses.

Discussion on the second topic focused on consideration of the appropriateness of each of the 12 dimensions, individually and as a set, for the Enlisted executive population. The group had unanimous consensus that these Flag level dimensions were also descriptive of executive level Enlisted performance requirements. This consensus was shared for each of the dimensions. They also believed that the dimension definitions appearing immediately under the dimension label were appropriately worded for this Enlisted population. Finally, although participants did not have time to review carefully all of the behavioral information contained in the subdimension content, they reported that this material appeared appropriate for them, as well. The suggestion was that a small number of senior level Master Chiefs might conduct a review of the behavioral anchors and do any necessary "wordsmithing."

Summary and Conclusions

The Task Force Excel Performance Vector Research Team (PVRT) recently developed a new Flag Fitness Report and Executive Mentoring product, and the purpose of the present project was to evaluate the appropriateness of these materials for the executive level *Enlisted* population, as well as to explore how Selection Board members might use data from the mentoring form to help make selection decisions on senior Enlisted personnel. To accomplish this, the PVRT assembled in a workshop setting, nine executive-level Enlisted in the Navy. These Fleet and Force Master Chiefs participated in a mock Selection Board in which they reviewed the "records" of 87 senior Enlisted personnel and made ratings of how selectable each was for an executive position. The records consisted of scores on the 12 executive mentoring dimensions scripted to be realistic for a group at this level, along with FITREP data for the past five years.

The research team used a policy capturing technique where the selection ratings made by the participants were regressed onto the mentoring dimension and FITREP scores. This analysis resulted in weights for the Professional mentoring dimensions, the Potential mentoring dimensions, and each of the five FITREP total scores that reflect for each participant the relative importance they placed on each of these seven pieces of information when making selection decisions.

Results of the policy capturing analyses suggested that on average across the nine participants, the highest weights were given to the potential and professional dimensions. FITREP results were weighted slightly lower. It should be noted, however, that there was considerable variation in the relative weights for individual participants. Nonetheless, these findings suggest that the mentoring dimensions, developed originally for Flag officers, may be appropriate for use with an executive Enlisted population.

In the workshop, the PVRT also asked participants to review carefully the content of the executive mentoring dimensions in relation to its appropriateness for the Enlisted executive population. The strong consensus was that each of the 12 dimensions is in fact appropriate and that the dimensions as a set do a very good job of reflecting the behavioral performance requirements for this population.

In sum, the policy capturing results, with this senior Enlisted executive group simulating a Selection Board considering selection to executive level Enlisted positions, suggested that data on the mentoring dimensions might be useful in making these decisions. A focused review of the dimension content reinforced the policy capturing findings. The group consensus was that the executive mentoring dimensions are appropriate for the senior Enlisted executive population.

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Appendix A

Human Performance Feedback and Development – Executive Mentoring Dimensions

Professional Performance Dimensions

(1) Mission Accomplishment:

Accomplishing the mission under difficult conditions or when obstacles present serious difficulties; conceptualizing and then communicating a vision that reflects Navy's strategic goals and ensures an implementation plan is developed that aligns organizational activities to that mission; inspiring subordinates and peers to drive toward mission execution; identifying means and methods to improve processes and fostering an atmosphere that facilitates positive change; holding self and subordinates accountable, commensurate to their level of responsibility; ensuring the development and implementation of measures of program and policy evaluation and emphasizing accomplishing results.

Sub-dimensions:

1a: Decisiveness/Risk Management

- Accurately assesses risks/benefits associated with actions
- Places high value on arriving at sound decisions
- Willingly re-evaluates decisions in light of new information and takes action where appropriate
- Balances risk mitigation while challenging current assumptions, conventions and practices

1b: Meets Goals

- Effectively manages required timelines through proper planning, organization and anticipation of obstacles to success
- Adapts his/her approach as demands of work change in order to meet goals
- Willingly invites participation of relevant others in achieving goals
- Delegates appropriate approval authority in order to meet goals

1c: Measures Execution with Metrics

- Accurately clarifies objectives, scope, timeliness and performance metrics
- Fosters an environment in which metrics are reported openly and honestly
- Has a clear understanding of metric relationships in order to derive properly aligned execution across organizational elements
- Willingly re-evaluates measures of effectiveness in light of the metrics and adjusts accordingly

1d: Achieves Results

- Has a clear vision of the required elements for mission achievement
- Recognizes opportunities for strategic partnerships in order to achieve results

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- Provides constructive performance feedback in order to achieve results

- Establishes clear improvement plans in order to achieve results

1e: Tactical Performance

- Continuously maintains the upper edge in all situations

- Full and comprehensive understanding of the overall strategic plan

- Employs force in a decisive and timely fashion with maximum effectiveness

- Takes decisive action applying broad knowledge and excellent judgment

Professional Performance Dimensions

(2) Growth and Development of People:

Giving highly useful guidance to enhance subordinates professional development; creating an environment where coaching and mentoring are fostered at all levels; defining expectations for subordinates and other personnel, and then providing timely, constructive and supportive feedback on performance; providing the resources for developmental opportunities to encourage subordinates to continuously learn and improve their performance; taking a highly active interest in the professional growth and career progression for all personnel within his/her area of responsibility.

Sub-dimensions:

2a: Performance Feedback Effectiveness

- Clearly articulates performance expectations and individual responsibilities

- Establishes clear improvement plans and actively participates in subordinate development

- Willingly gives peers and subordinates useful and timely guidance to enhance personal, professional and career development

- Recognizes when others' expertise is necessary to enhance growth and development of peers and subordinates

2b: Work Environment

- Provides an environment in which individual differences are valued and communications are open and transparent

- Fosters an environment where people understand and respect the chain of command yet where feedback is welcomed

- Follows through on promises and commitments made to others

- Takes personal risk to ensure all contributing voices and points of view are heard

2c: Mentorship Ability

- Is open to providing the time and energy to mentor others

- Takes time to listen carefully to the interests, opinions, concerns and goals of others

- Encourages others to focus their development in areas where they can achieve the greatest leverage

- Proactively follows mentee's professional and personal development, providing appropriate advice and support

2d: Coaching Ability

- Inspires, motivates and guides others toward goal accomplishment

- Assesses others' unique developmental needs and provides opportunities accordingly
- Clearly defines expectations providing timely, constructive and supportive feedback
- Provides others with highly useful guidance to enhance professional growth and career progression

2e: Provides Training and Education

- Encourages others to expand their current focus through educational development opportunities
- Allows others to pursue learning opportunities to enhance personal and professional growth
- Provides appropriate resources commensurate with developmental pursuits of subordinates
- Establishes processes that promote learning from each other within and across the organization

Professional Performance Dimensions

(3) Operational Competence:

Displaying a full and comprehensive understanding of the concept of operations in areas of responsibility; employing force in a decisive and timely fashion with maximum effectiveness; integrating all aspects of strategic command and control across multilateral forces through highly efficient planning and execution; applying broad knowledge and excellent judgment, and taking decisive action even under very difficult, high-stakes conditions; maintaining the upper edge by ensuring the highest operational readiness in all areas.

Sub-dimensions:

3a: Employment of Force

- Possesses full and comprehensive understanding of strategies and policies associated with the mission

- Employs appropriate force/forcefulness in a decisive and timely fashion

- Consistently integrates all aspects of command and control across multidimensional forces, staffs and technologies

3b: Command and Control Planning Expertise

- Ensures all contingencies are recognized during the deliberative planning process

- Synchronizes planning to the concept of operations by establishing interagency relationships which facilitates the assignment of tasks and objectives

- Provides an orderly schedule of decisions

- Provides subordinates with strategic direction, operational focus, major tasks, and objectives

3c: Coalition/Joint/Interagency Coordination

- Provides broad strategic concepts of operations and sustainment for achieving multinational, national, theater and command strategic objectives

- Achieves unity of effort by all agencies as required

- Establishes a clearly defined organization for subordinate elements and delineates command relationships

- Maintains situational awareness at all times to ensure rapid response across agencies in light of changing information or intelligence

3d: Judgment Under Pressure

- Maintains a disciplined approach to all aspects of the operation exercising sound judgment throughout the campaign

- Possesses a keen sense of anticipation of future responses thus limiting pressure on the organization

- Able to adapt quickly to unexpected situations remaining calm and confident at all times displaying an appropriate level of patience

- Able to process large amounts of information quickly under stressful conditions ensuring sound decisions while dealing constructively with mistakes and setbacks

3e: Warfighting Edge

- Maintains the strategic advantage at all times

- Determines priorities and conveys clear expectations for success

- Assesses progress reports quickly adapting operational plans immediately to maintain the upper edge

- Delegates authority appropriately and requires accountability for mission success

Professional Performance Dimensions

(4) Vision/Strategic Perspective:

Displaying a complete and accurate understanding of the global concept of operations of Naval Forces; developing forward thinking visions and strategies that remain linked to Navy's vision and long-term strategy; improving the ability to meet mission requirements through innovative breakthrough ideas and strategies.

Sub-dimensions:

4a: Understands Navy Mission/Purpose

- Displays a comprehensive understanding of Navy's global role in national and Department of Defense strategies

- Clearly articulates strategic guidance and transformational doctrines of the Secretary of the Navy and the Chief of Naval Operations

- Possesses a clear understanding of the relationship of the mission of the command to the over-arching mission of Navy

- Stays abreast of potential changes to Navy's mission

4b: Links Vision to Navy Vision

- Ensures personal vision for the command is in total concert with the over-arching Navy vision

- Ensures communication is aligned to senior leadership's vision and drive for Navy

- Maintains open dialog with subordinates and subordinate commands ensuring alignment of visions with Navy's comprehensive vision

- Stays abreast of potential changes to Navy's vision ensuring proper alignment at all times

4c: Links Strategy to Navy Strategy

- Ensures personal strategy for the command is in total concert with the over-arching Navy strategy

- Ensures communication is aligned to senior leadership's and the Navy's strategy

- Maintains open dialog with subordinates and subordinate commands ensuring alignment of strategy with Navy's comprehensive strategy

- Stays abreast of potential changes to Navy's strategy ensuring proper alignment at all times

4d: Strategic Thinking

- Constantly assesses internal and external elements in order to shape the future

- Insightful, perceptive and able to detect patterns of change that will influence operational plans

- Fully understands the organization's capabilities to execute strategy and makes adjustments as needed

- Able to balance short-term needs with long-term strategic thinking to ensure a successful outcome to the mission

4e: Innovation and Creativity

- Constructively challenges current assumptions, conventions and practices and encourages others to do the same

- Encourages an atmosphere of continuous improvement in current practices, processes or products

- Willing to take independent action to improve processes and procedures under his/her control

- Offers forward-thinking, creative or innovative ideas

Professional Performance Dimensions

(5) Business Acumen/Skills:

Assessing current and future staffing needs based on Navy's goals and budget realities/constraints; applying merit principles to develop, select, and manage a diverse workforce; overseeing the allocation of financial resources and the budgetary process; identifying cost-effective approaches to mission accomplishment; establishing and assuring the use of internal controls for financial systems; ensuring the development and utilization of management information systems and other technological resources that meet Navy's needs; and understanding the impact of technological changes on Navy's ability to achieve it objectives.

Sub-dimensions:

5a: Knowledge of Navy Programming

- Understands Navy programming processes and works within the confines and constructs to maximize resources

- Builds enhancing alliances with internal and external groups to facilitate the successful programmatic needs of the organization

- Takes a realistic and reasonable approach to Navy programming requirements

- Accepts and respects Navy programming decisions

5b: Financial Resources Management

- Understands the financial impact of technological change on the organization

- Understands the allocation of financial resources and stresses the necessity of cost-effective approaches while maintaining internal controls

- Ensures the efficient and cost-effective development and wide-ranging utilization of authoritative enterprise management information systems in meeting the needs of Navy and the command

- Creates an environment of accountable resource stewardship at all levels of the organization

5c: Human Resources Management

- Assesses current and future staffing needs based on the organizational goals and budget realities

- Applies merit principles to develop, select and manage a diverse workforce

- Properly aligns knowledge, skills and abilities of human resources to meet strategic goals

- Ensures maximum effectiveness of human resources through proper functional alignment of workload

5d: Leverages Technology

- Embraces information technology as a strategic resource

- Stays abreast of technological developments and improvements both inside and outside Navy

- Ensures technological decisions/purchases encompass enterprise-wide standards and architecture

- Ensures the organization has necessary resources and training to properly embrace technology

5e: Meets Deadlines

- Effectively prioritizes workload removing unnecessary barriers and interruptions to ensure deadlines are met

- Clearly articulates business plans, individual responsibilities and expectations with appropriate status updates

- Constructively and proactively challenges assumptions, practices and bureaucracies that might impede success

- Willingly delegates decision-making authority to the appropriate levels

Professional Performance Dimensions

(6) Communication Skills:

Practicing effective two-way communication (i.e., speaking clearly, listening attentively, and clarifying information); providing timely and relevant information up and down the chain of command; tailoring presentations to the level of the audience; expressing oneself in a manner that produces a productive and harmonious environment; effectively representing and speaking for Navy; ensuring that reports, memoranda, and other documents reflect the position of Navy in a clear, convincing, and organized manner.

Sub-dimensions:

6a: Provides Clear Guidance

- Able to clearly articulate ideological goals relating mission to deeply rooted values
- Able to communicate high expectations about subordinate performance while simultaneously expressing confidence in subordinates
- Asks effective questions to stimulate thought processes toward the desired outcome
- Builds communication strategies and feedback metrics into the execution of the mission

6b: Quality of Oral Presentations

- Demonstrates confidence, sincerity and conviction
- Maintains command and control of the audience through professional demeanor speaking clearly and audibly
- Presentation personifies effective and adequate preparation
- Clearly able to modify presentation to the level of the audience to ensure the audience remains engaged

6c: Written Communication

- Able to clearly, concisely and convincingly articulate the issue
- Displays mastery of the rules of grammar and uses accordingly based on the level of formality required
- Anticipates questions based on the issue and addresses them in the written document
- Understands the power of e-mail and uses it appropriately and effectively

6d: Extemporaneous

- Able to quickly organize a thoughtful and articulate response to an "on-the-spot" situation that reflects well on Navy
- Politically savvy and astute to ensure that any response does not place Navy or senior leadership in a compromising position

- Open and direct in both positive and negative situation maintaining credibility at all times

- Aware that non-verbal communications convey a powerful message and uses body language appropriately

6e: Public Communications

- Able to represent Navy in an articulate and effective manner for non-Navy constituents

- Able to evoke a powerful public presence through professional demeanor, appropriate language and superior knowledge

- Willing to listen to a wide range of ideas or concerns to ensure open dialog with the public

- Chooses the appropriate communications vehicle when dealing with the public

Professional Performance Dimensions

(7) Behavior:

Accepting responsibility for own and subordinates' actions; maintaining ethical principles and telling the truth, regardless of consequences; setting and displaying uncompromising values (e.g., honor, courage, commitment, and integrity); treating others fairly and consistently; undertaking necessary action, even when physically risky, and inspiring others to do the same; maintaining sharp military appearance and physical health/fitness; supporting Navy mission and goals regardless of personal feelings; protecting the interests of those who are not present and those who have less power or authority.

Sub-dimensions:

7a: Displays Uncompromising Values/Honesty/Ethics

- Sets the standard and displays high ethical principles

- Supports Navy and Command mission and goals willingly regardless of personal feelings

- Displays uncompromising values (honor, courage, commitment and integrity)

- Forthright and forthcoming, even with negative news

7b: Displays Enthusiasm/Passion

- Creates a sense of enthusiasm toward the mission and camaraderie among subordinates

- Volunteers for additional responsibilities or opportunities and assists others without being asked

- Motivates and inspires colleagues and subordinates through a sense of passion with purpose

- Understands how to motivate through praise and constructive feedback

7c: Accepts Responsibility/Accountability

- Accepts ownership, accountability and responsibility and holds others to the same standard

- Does not take advantage of position to obtain unreasonable or excessive benefits

- Assumes appropriate responsibility for organizing the mission and activities of the Command

- Protects the interests of those who are not present and those who have less authority or power

7d: Loyalty

- Exhibits an attitude of respect and support that translates into a loyalty to Navy

- Displays dedication to Navy goals and standards

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- Makes considered and well-informed decisions regarding Navy, family and self

- Fosters an atmosphere that inspires fidelity to Navy

7e: Military Bearing and Appearance

- Maintains sharp military appearance through pride in uniform and commitment to physical health/fitness

- Motivates and inspires others to a life long commitment to health and exercise

- Displays appropriate courtesies to superiors, peers and subordinates

- Projects a positive image to all those around him/her

Professional Performance Dimensions

(8) Leading People:

Building and leading individual and team activities; motivating and inspiring others by taking a personal interest in their welfare and contributions to the team; creating a sense of enthusiasm and purpose in own team and always projecting a positive attitude; effectively adopting different leadership styles as appropriate to individuals and settings; empowering others by sharing power and authority; frequently inspiring others by demonstrating through own actions the behaviors expected of the team; fostering commitment, team spirit, pride, trust, and group identity; resolving conflicts in a positive and constructive manner and taking disciplinary action only when other means have not been successful.

Sub-dimensions:

8a: Team Building

- Attracts and selects 'top-notch' talent with complimentary strengths to ensure successful team efforts
- Fosters a climate of team spirit, group identity and commitment by removing barriers to collaboration
- Clearly defines the vision for the team's success, building on a sense of trust, openness, frankness and 'give and take' amongst team members
- Assesses team efforts through defined performance standards, provides constructive feedback and takes action (reward, counsel or remove) to ensure success

8b: Energy/Enthusiasm

- Imparts to others a sense of energy, enthusiasm, ownership and personal commitment to work
- Possesses a sense of 'passion with purpose' that is apparent to all
- Promotes high energy success stories that further the organization's mission
- Appreciates the delicate balance in pushing people so that they remain energetic and enthusiastic without becoming over-burdened to the point of 'burn-out'

8c: Positive Attitude

- Focuses on successful elements even within negative experiences
- Willingly provides positive reinforcements on a daily basis
- Fosters an environment in which subordinates always learn from their experiences
- Energizes subordinates by having them revisit their goals to ensure their efforts remain on target

8d: Motivates and Inspires

- Creates an environment that encourages others to do their best, rewarding significant achievements

- Promotes the value of cultural diversity and other differences inspiring people to work together

- Promotes an environment that fosters creativity and innovation thus stimulating the intellectual capacity of people to continuously improve the organization

- Possesses a comprehensive understanding of the behavioral functions and reward systems that motivate people, applying appropriate stimuli to foster success

8e: Leads by Example

- Maintains high standards for own work output (actually walks the talk)

- Demonstrates the courage to do what is right despite personal risk or discomfort

- Willingly engages in personal feedback on own performance expecting the same of others

- Embraces own personal and professional development expecting the same of others

Potential Dimensions

(1) Organizational Skills:

Understanding the intricacies of Navy, Department of Defense, and joint organization structures, rules, regulations, policies, and initiatives and the ability to successfully navigate through them in order to further Navy's goals and objectives; enhancing Navy's strategic position by establishing a network of key individuals across all organizations; displaying the social awareness, interpersonal skills, and appropriate courtesies to superiors, peers, and subordinates; developing policies and actions that align with the overall mission scheme.

Sub-dimensions:

1a: Navy Organizational Understanding

- Possesses a comprehensive understanding of Navy operational and staff capabilities and their interface within the organization

- Familiar with all Navy's capabilities and functions

- Creates an optimal resource mix of Navy assets for peak organizational performance

- Leverages unique Naval capabilities to accomplish strategic implementation of organizational goals

1b: Joint Organizational Understanding

- Possesses a comprehensive understanding of Joint operational and staff capabilities and their interface within the organization

- Familiar with all Joint capabilities and functions

- Creates an optimal resource mix of Joint assets for peak organizational performance

- Leverage unique Joint organizational capabilities to accomplish implementation of strategic goals

1c: DoD Organizational Understanding

- Possesses a comprehensive understanding of DoD operational and staff capabilities and their interface within the organization

- Familiar with all DoD's capabilities and functions

- Creates an optimal resource mix of DoD assets for peak organizational performance

- Leverages unique Department of Defense capabilities to accomplish strategic implementation of international goals

1d: Interpersonal Skills

- Possesses the ability to understand, accept, and influence the diverse skills and abilities of individuals

- Effectively listens to and influences others

- Collaborates with various individuals to build an effective team
- Identifies, manages, and resolves conflicts successfully

1e: Networking

- Builds internal and external relationships at all levels to facilitate mission accomplishment
- Able to work with diverse groups to accomplish goals
- Cultivates cross-functional relationships
- Leverages relationships appropriately in order to accomplish organizational goals

Potential Dimensions

(2) Personal/Professional Development:

Improving professional capabilities through formal and informal training (e.g., off-duty education, on-the-job experiences); finding purpose, personal benefit, and growth by seeking out all available educational sources and then applying knowledge gained to improve managerial performance; balancing self-development and training with managerial and strategic responsibilities, ensuring that neither is neglected; actively charting career development plans for both short-term and longer-term progression in ways that benefit self and Navy.

Sub-dimensions:

2a: Continuing Education

- Continuously improves professional capabilities through formal training, off-duty education and on-the-job experiences

- Seeks out all available educational sources and then applies the knowledge gained to improving performance

- Ensures subordinates' continued growth and development through continuing education

- Embraces new methods and technologies to ensure the most rapid and effective delivery of continuing education for self and subordinates

2b: Life-Work Balance

- Adeptly balances self-development and training with strategic responsibility, ensuring that neither is neglected

- Develops creative solutions to help minimize conflict or anxiety with traditional family roles and the demands of the workplace (e.g., telecommuting, alternative work schedules, job sharing, etc.)

- Applies appropriate measurement techniques and studies to evaluate the relationship between job satisfaction, quality of life and staff turnover

- Fosters an environment of social support throughout all levels of the Chain of Command

2c: Responsiveness to Feedback

- Listens attentively and clarifies information when necessary

- Provides timely information to others up and down the chain of command

- Actively seeks feedback on performance and welcomes unsolicited feedback

- Modifies behavior based on new experience and feedback

2d: Improves Knowledge, Skills & Abilities

- Continuously finds new ways of accomplishing job assignments at the maximum level of performance while utilizing the resources that are available

- Consistently improves and sustains high level of performance when faced with difficult tasks that may exceed the individual's current skill set

- Actively seeks knowledge and learns new skills, improves job performance by utilizing the latest technology, displays high level of curiosity in areas where knowledge is weakest

- Identifies personal training needs and is responsive to suggestions, taking feedback and criticism well

2e: Information Technology Skills

- Embraces the linkage between technical competencies and missions requirements

- Seeks out ways to apply new information technologies within the workplace

- Monitors subordinates' technical acumen and provides advice and support as appropriate

- Incorporates the latest technological developments into the full range of vision and strategic planning

Potential Dimensions

(3) Leading Change:

Exercising leadership and motivating others to incorporate vision, strategic planning, and elements of quality management into the full range of Navy activities; being open to new ideas and new methods for accomplishing goals; tolerating ambiguity and being flexible; adapting behavior and work methods in response to new information, changing conditions, emerging requirements, or unexpected obstacles; adjusting rapidly to new situations warranting attention and resolution; embracing change, and looking for better methods and techniques to accomplish tasks.

Sub-dimensions:

3a: Creativity and Innovation

- Routinely applies creative thinking to both old and new situations so that individual and group productivity is improved

- Modifies goals and objectives based on emerging requirements

- Seeks out opportunities to apply new information to the work environment

- Applies new technical, business or military knowledge quickly

3b: External Awareness

- Recognizes that all constituencies are important and is appropriately attentive to everyone's needs

- Defines the relationship between internal and external politics that impact the work of Navy

- Recognizes and balances the interest and needs of their own situation with those of Navy

- Remains open to new processes and procedures from all appropriate external sources and applies them to the workplace

3c: Stimulates Better Process

- Embraces the principles of continuous improvement

- Incorporates vision, strategic planning and elements of quality management into the full range of Navy's activities

- Adept at anticipating and adjusting rapidly to changes in the environment

- Thrives in a dynamic work environment and is always open to new ideas and methods for accomplishing tasks and objectives

3d: Flexibility

- Remains vigilant and ready to adapt to changes in a dynamic work environment

- Remains calm during stressful situations and environments

- Displays a high degree of flexibility and tolerance of ambiguity even in difficult and dynamic circumstances
- Develops innovative plans to meet requirements when initial goals and timelines appear to be in jeopardy

3e: Evaluates New Ideas

- Understand how policies and action fit into the overall mission of Navy and uses this information to accomplish work tasks
- Actively seeks new suggestions for ways to improve work processes/procedures
- Takes the time to understand others without jumping to conclusions prematurely
- Applies appropriate measurement techniques to evaluation of specific programs, processes, policies and procedures

Potential Dimensions

(4) Savvy:

Making decisions that balance mental acuity, common sense, analytical skill, and decisiveness; ability to grasp the specifics of a situation and relate to the larger Navy context; defining issues despite incomplete or ambiguous information; identifying and readily adapting to the most critical, high impact issues rather than those that are simply urgent; recognizing key patterns and relationships that facilitate effective problem-solving and decision-making; anticipating and recognizing the implications of decisions on other parts of Navy.

Sub-dimensions:

4a: Raw Intelligence

- Drills down to core issues, determines root causes of problems and implements innovative solutions

- Draws relevant information from subordinates by active listening and promotes a structured problem-solving environment

- Able to see through unclear situations to divine motivations and agendas of others, developing reactive strategies and tactics

- Deconflicts complex interactions between issues, focusing on critical aspects of the problem to determine the best possible solution

4b: Common Sense

- Demonstrates the ability to make sound and thoughtful decisions with limited information

- Applies logic and reasoning with experience to solve complex problems and issues before they impact operational effectiveness

- Tests alternative solutions by reviewing the practicality of different decisions in the context of organizational goals

- Analyzes diverse points of view from different constituencies and applies thoughtful logic to determine the best possible solution for all

4c: Ability to Mediate

- Creates an environment through which problems and conflicts are resolved at the lowest level

- Able to create a sense of responsibility to the organization and oneself, thereby preventing organizational conflicts before they occur

- Creates organizational unity and alignment, thereby limiting the need for conflict resolution

- Able to refrain from biased opinions in order to create common ground

4d: Perceptive

- Discerns the talents and abilities of subordinates, employing them appropriately
- Sensitive to the environment, able to extract needed data from the surroundings in order to make a sound decision
- Able to read others to determine most effective style to utilize, maximizing an individual's productivity
- Foresees potential problems and develops corrective courses of action

4e: Adaptive

- Able to adapt leadership style to suit the ability and maturity (competence and commitment) of subordinates
- Improves conditions by modifying environmental factors dictated by the situation
- Able to focus and harmonize resources to accomplish the mission
- Able to adjust to an ever changing environment while maintaining high standards of performance

Appendix B

Estimated Executive Mentoring Dimension Intercorrelation Matrix

Estimated Correlation Matrix												
	1	2	3	4	5	6	7	8	9	10	11	12
1. Mission Accomplishment	—											
2. Growth and Development of People	.55	—										
3. Operational Competence	.65	.26	—									
4. Vision/Strategic Perspective	.65	.33	.64	—								
5. Business Acumen/Skills	.58	.28	.41	.38	—							
6. Communications Skills	.58	.53	.40	.38	.35	—						
7. Behavior	.50	.50	.33	.37	.33	.38	—					
8. Leading People	.60	.74	.45	.28	.37	.38	.60	—				
9. Organizing Skills	.55	.30	.63	.61	.62	.50	.40	.52	—			
10. Personal/Professional Development	.60	.60	.41	.48	.40	.43	.28	.35	.40	—		
11. Leading Change	.60	.48	.49	.57	.39	.47	.39	.65	.39	.49	—	
12. Savvy	.60	.36	.50	.48	.59	.52	.33	.43	.40	.48	.50	—

Appendix C

Human Performance Feedback and Development – Executive Mentoring Profile Sample

Human Performance Feedback & Development – Executive Mentoring Feedback Form

Name: Profile 1

ID Number: 1

Branch:

Evaluation Type:

OVERALL PERFORMANCE RATING: 4.70

PROFESSIONAL DIMENSION RATING: 4.50

Mission Accomplishment: 6.2

Decisiveness/Risk Management: 7
- *Comments:*
- *IDP Objectives & Projected Completion:*

Meets Goals: 7
- *Comments*
- *IDP Objectives & Projected Completion:*

Measures Execution with Metrics: 6
- *Comments:*
- *IDP Objectives & Projected Completion:*

Achieves Results: 6
- *Comments:*
- *IDP Objectives & Projected Completion:*

Tactical Performance: 5
- *Comments:*
- *IDP Objectives & Projected Completion:*

Growth and Development of People: 2.8

Performance Feedback: *3*
- *Comments:*
- *IDP Objectives & Projected Completion:*

Work Environment: 3
- *Comments:*
- *IDP Objectives & Projected Completion:*

Mentorship Ability: 4
- *Comments:*
- *IDP Objectives & Projected Completion:*

Coaching Ability: 3

- *Comments:*
- *IDP Objectives & Projected Completion:*

Provides Training and Education: 1

- *Comments:*
- *IDP Objectives & Projected Completion:*

Operational Competence: 4.0

Employment of Force: 6

- *Comments:*
- *IDP Objectives & Projected Completion:*

Command and Control Planning Expertise: 4

- *Comments:*
- *IDP Objectives & Projected Completion:*

Coalition/Joint/Interagency Coordination: 4

- *Comments:*
- *IDP Objectives & Projected Completion:*

Judgment Under Pressure: 4

- *Comments:*
- *IDP Objectives & Projected Completion:*

Warfighting Edge: 2

- *Comments:*
- *IDP Objectives & Projected Completion:*

Vision/Strategic Perspective: 3.8

Understands Navy Mission/Purpose: 4

- *Comments:*
- *IDP Objectives & Projected Completion:*

Links Vision to Navy Vision: *3*

- *Comments:*
- *IDP Objectives & Projected Completion:*

Links Strategy to Navy Strategy: *3*

- *Comments:*
- *IDP Objectives & Projected Completion:*

Strategic Thinking: 4

- *Comments:*
- *IDP Objectives & Projected Completion:*

Innovation and Creativity: 5

- *Comments:*
- *IDP Objectives & Projected Completion:*

Business Acumen/Skills: 5.4

Knowledge of Navy Programming: 6
- *Comments:*
- *IDP Objectives & Projected Completion:*

Financial Resources Management: 6
- *Comments:*
- *IDP Objectives & Projected Completion:*

Human Resources Management: 7
- *Comments:*
- *IDP Objectives & Projected Completion:*

Leverages Technology: 6
- *Comments:*
- *IDP Objectives & Projected Completion:*

Meets Deadlines: 2
- *Comments:*
- *IDP Objectives & Projected Completion:*

Communication Skills: 5.2

Provides Clear Guidance: 4
- *Comments:*
- *IDP Objectives & Projected Completion:*

Quality of Oral Presentations: 6
- *Comments:*
- *IDP Objectives & Projected Completion:*

Written Communication: 5
- *Comments:*
- *IDP Objectives & Projected Completion:*

Extemporaneous: 5
- *Comments:*
- *IDP Objectives & Projected Completion:*

Public Communications: 6
- *Comments:*
- *IDP Objectives & Projected Completion:*

Behavior: 2.4

Displays Uncompromising Values/Honesty/Ethics: 3
- *Comments:*
- *IDP Objectives & Projected Completion:*

Displays Enthusiasm/Passion: 3

- *Comments:*
- *IDP Objectives & Projected Completion:*

Accepts Responsibility/Accountability: 2

- *Comments:*
- *IDP Objectives & Projected Completion:*

Loyalty: 2

- *Comments:*
- *IDP Objectives & Projected Completion:*

Military Bearing and Acceptance: 2

- *Comments:*
- *IDP Objectives & Projected Completion:*

Leading People: 6.2

Team Building: 6

- *Comments:*
- *IDP Objectives & Projected Completion:*

Energy/Enthusiasm: 6

- *Comments:*
- *IDP Objectives & Projected Completion:*

Positive Attitude: 5

- *Comments:*
- *IDP Objectives & Projected Completion:*

Motivates and Inspires: 7

- *Comments:*
- *IDP Objectives & Projected Completion:*

Leads by Example: 7

- *Comments:*
- *IDP Objectives & Projected Completion:*

POTENTIAL DIMENSION RATING: 5.10

Organizational Skills: 5.8

Navy Organizational Understanding: 5

- *Comments:*
- *IDP Objectives & Projected Completion:*

Joint Organizational Understanding: 5

- *Comments:*
- *IDP Objectives & Projected Completion:*

DoD Organizational Understanding: 6

- *Comments:*
- *IDP Objectives & Projected Completion:*

Interpersonal Skills: 6

- *Comments:*
- *IDP Objectives & Projected Completion:*

Networking: 7

- *Comments:*
- *IDP Objectives & Projected Completion:*

Personal/Professional Development: 5.0

Continuing Education: 5

- *Comments:*
- *IDP Objectives & Projected Completion:*

Life-Work Balance: 4

- *Comments:*
- *IDP Objectives & Projected Completion:*

Responsiveness to Feedback: 5

- *Comments:*
- *IDP Objectives & Projected Completion:*

Improves Knowledge, Skills & Abilities: 4

- *Comments:*
- *IDP Objectives & Projected Completion:*

Information Technology Skills: 7

- *Comments:*
- *IDP Objectives & Projected Completion:*

Leading Change: 4.6

Creativity and Innovation: 4

- *Comments:*
- *IDP Objectives & Projected Completion:*

External Awareness: 5

- *Comments:*
- *IDP Objectives & Projected Completion:*

Stimulates Better Process: 4

- *Comments:*
- *IDP Objectives & Projected Completion:*

Flexibility: 3

- *Comments:*
- *IDP Objectives & Projected Completion:*

Evaluates New Ideas: 7

- *Comments:*
- *IDP Objectives & Projected Completion:*

Savvy: 5.0

Raw Intelligence: 5

- *Comments:*
- *IDP Objectives & Projected Completion:*

Common Sense: 5

- *Comments:*
- *IDP Objectives & Projected Completion:*

Ability to Mediate: 4

- *Comments:*
- *IDP Objectives & Projected Completion:*

Perceptive: 5

- *Comments:*
- *IDP Objectives & Projected Completion:*

Adaptive: 6

- *Comments:*
- *IDP Objectives & Projected Completion:*